



PTO/SB/21 (08-00)

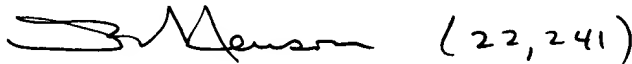
Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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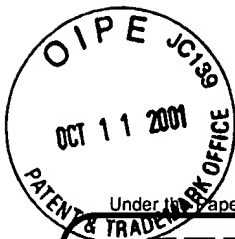
| | | |
|---|-----------------------------|--|
| TRANSMITTAL FORM (to be used for all correspondence after initial filing) | Application Number | 09/897,437 |
| | Filing Date | 07/03/2001 |
| | First Named Inventor | RAM, PRANIL |
| | Group Art Unit | 2164 |
| | Examiner Name | |
| Total Number of Pages in This Submission | | Attorney Docket Number 6406-1 (B) |

| ENCLOSURES (check all that apply) | | |
|--|--|--|
| <input checked="" type="checkbox"/> Fee Transmittal Form <input checked="" type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input checked="" type="checkbox"/> Response to Missing Parts/ Incomplete Application <input checked="" type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 | <input checked="" type="checkbox"/> Assignment Papers (for an Application) <input checked="" type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input checked="" type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____ | <input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input type="checkbox"/> Other Enclosure(s) (please identify below): |
| Remarks | | |

| SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT | |
|---|---|
| Firm or Individual name | Donald E. Hewson (Marks & Clerk) |
| Signature |  (22,241) |
| Date | October 10, 2001 |

| CERTIFICATE OF MAILING | | | |
|---|--|------|--|
| I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: <input type="text"/> | | | |
| Typed or printed name | | | |
| Signature | | Date | |

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



PTO/SB/17 (10-01)

Approved for use through 10/31/2002. OMB 0651-0032
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$) 2593.00

Complete if Known

| | |
|----------------------|------------|
| Application Number | 09/897,437 |
| Filing Date | 07/03/2001 |
| First Named Inventor | RAM, Prnil |
| Examiner Name | |
| Group Art Unit | 2164 |
| Attorney Docket No. | 6406-1 (B) |

METHOD OF PAYMENT

- 1.
- ☒
- The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number: 08-2040
Deposit Account Name: Marks & Clerk

☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17☒ Applicant claims small entity status. See 37 CFR 1.27

- 2.
- ☐
- Payment Enclosed:

☐ Check ☒ Credit card ☐ Money Order ☐ Other**FEE CALCULATION****1. BASIC FILING FEE**

| Large Entity | | Small Entity | | Fee Description | Fee Paid |
|--------------|----------|--------------|----------|------------------------|----------|
| Fee Code | Fee (\$) | Fee Code | Fee (\$) | | |
| 101 | 740 | 201 | 370 | Utility filing fee | 370.00 |
| 106 | 330 | 206 | 165 | Design filing fee | |
| 107 | 510 | 207 | 255 | Plant filing fee | |
| 108 | 740 | 208 | 370 | Reissue filing fee | |
| 114 | 160 | 214 | 80 | Provisional filing fee | |

SUBTOTAL (1) (\$) 370.00

2. EXTRA CLAIM FEES

| Total Claims | Independent Claims | Multiple Dependent | Extra Claims | Fee from below | Fee Paid |
|--------------|--------------------|--------------------|--------------|----------------|----------|
| | | | | | |
| 232 | 8 | | -20** = 212 | 9.00 | 1908.00 |
| | | | -3** = 5 | 42.00 | 210.00 |

| Large Entity | | Small Entity | | Fee Description |
|--------------|----------|--------------|----------|--|
| Fee Code | Fee (\$) | Fee Code | Fee (\$) | |
| 103 | 18 | 203 | 9 | Claims in excess of 20 |
| 102 | 84 | 202 | 42 | Independent claims in excess of 3 |
| 104 | 280 | 204 | 140 | Multiple dependent claim, if not paid |
| 109 | 84 | 209 | 42 | ** Reissue independent claims over original patent |
| 110 | 18 | 210 | 9 | ** Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) (\$) 2118.00

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)**3. ADDITIONAL FEES**

| Large Entity | | Small Entity | | Fee Description | Fee Paid |
|--------------|----------|--------------|----------|--|----------|
| Fee Code | Fee (\$) | Fee Code | Fee (\$) | | |
| 105 | 130 | 205 | 65 | Surcharge - late filing fee or oath | 65.00 |
| 127 | 50 | 227 | 25 | Surcharge - late provisional filing fee or cover sheet | |
| 139 | 130 | 139 | 130 | Non-English specification | |
| 147 | 2,520 | 147 | 2,520 | For filing a request for <i>ex parte</i> reexamination | |
| 112 | 920* | 112 | 920* | Requesting publication of SIR prior to Examiner action | |
| 113 | 1,840* | 113 | 1,840* | Requesting publication of SIR after Examiner action | |
| 115 | 110 | 215 | 55 | Extension for reply within first month | |
| 116 | 400 | 216 | 200 | Extension for reply within second month | |
| 117 | 920 | 217 | 460 | Extension for reply within third month | |
| 118 | 1,440 | 218 | 720 | Extension for reply within fourth month | |
| 128 | 1,960 | 228 | 980 | Extension for reply within fifth month | |
| 119 | 320 | 219 | 160 | Notice of Appeal | |
| 120 | 320 | 220 | 160 | Filing a brief in support of an appeal | |
| 121 | 280 | 221 | 140 | Request for oral hearing | |
| 138 | 1,510 | 138 | 1,510 | Petition to institute a public use proceeding | |
| 140 | 110 | 240 | 55 | Petition to revive - unavoidable | |
| 141 | 1,280 | 241 | 640 | Petition to revive - unintentional | |
| 142 | 1,280 | 242 | 640 | Utility issue fee (or reissue) | |
| 143 | 460 | 243 | 230 | Design issue fee | |
| 144 | 620 | 244 | 310 | Plant issue fee | |
| 122 | 130 | 122 | 130 | Petitions to the Commissioner | |
| 123 | 50 | 123 | 50 | Processing fee under 37 CFR 1.17(q) | |
| 126 | 180 | 126 | 180 | Submission of Information Disclosure Stmt | |
| 581 | 40 | 581 | 40 | Recording each patent assignment per property (times number of properties) | 40.00 |
| 146 | 740 | 246 | 370 | Filing a submission after final rejection (37 CFR § 1.129(a)) | |
| 149 | 740 | 249 | 370 | For each additional invention to be examined (37 CFR § 1.129(b)) | |
| 179 | 740 | 279 | 370 | Request for Continued Examination (RCE) | |
| 169 | 900 | 169 | 900 | Request for expedited examination of a design application | |

Other fee (specify) _____

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 105.00

| | | | |
|---------------------|------------------|-----------------------------------|--------------|
| SUBMITTED BY | | Complete (if applicable) | |
| Name (Print/Type) | Donald E. Hewson | Registration No. (Attorney/Agent) | 22,241 |
| Signature | | Telephone | 905-272-2252 |
| | | Date | 10/10/2001 |

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

| APPLICATION NUMBER | FILING/RECEIPT DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NUMBER |
|--------------------|---------------------|-----------------------|------------------------|
| 09/897,437 | 07/03/2001 | Pranil Ram | 6406-1 |

CONFIRMATION NO. 8157

FORMALITIES LETTER



OC000000006455590

23477
DONALD E. HEWSON
350 BURNHAMTHORPE ROAD WEST
SUITE 402
MISSISSAUGA, ON L5B 3J1
CANADA

Oct. 21/01
File Missing Parts

Date Mailed: 08/21/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).
- Total additional claim fee(s) for this application is \$4216.
 - \$3816 for 212 total claims over 20.
 - \$400 for 5 independent claims over 3.
- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 5056.

A copy of this notice MUST be returned with the reply.

Customer Service Center
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

10/15/2001 MBELETE1 00000023 09897437

| | |
|-----------|------------|
| 01 FC:201 | 370.00 OP |
| 02 FC:205 | 65.00 OP |
| 03 FC:202 | 210.00 OP |
| 04 FC:203 | 1908.00 OP |

RECEIVED

MARKS & CLERK - MISSISSAUGA

Marks & Clerk

Patent and Trade-Mark Agents

Suite 402, 350 Burnhamthorpe Road West
Mississauga, Ontario L5B 3J1, CANADA



Telephone: (905) 272-2252
Facsimile: (905) 272-2557
e-mail: dhewson@to.markclerk.com

Please reply to: Donald E. Hewson

Our Ref: 6406-1(B)
Your Ref:

Wednesday, October 10, 2001

The Commissioner of Patents
The United States Patent Office
Crystal Plaza Two
2011 Jefferson Davis Highway
Arlington, Virginia
22202 U.S.A.

Dear Sir:

Re: United States Patent Application Serial No.: 09,897,437, Filed: 07/03/2001
Inventors: RAM et al
Title: **INTERACTIVE GRID-BASED GRAPHICAL TRADING SYSTEM
FOR REAL TIME SECURITY TRADING**
Group Art Unit: 2164
Confirmation No.: 8157

This is responsive to the Notice to File Missing Parts of Application, Filing Date Granted, mailed August 21, 2001, in the above application.

Please find **enclosed** herewith the following:

1. Declaration for Patent Application, executed by the inventors herein.
2. Power of Attorney document, executed by the inventors on August 12, 2001.
3. Copy of Notice to File Missing Parts of Application which is required to be returned with the submission of the required documents.
4. Assignment Papers and Recordation Cover Sheet.
5. New drawings (55 Figures, 55 Sheets).

- 1 652 : 50
6. An authorization to pay \$2,593.00 US in payment of all requisite fees (see attached Fee Calculation Sheet), together with Credit Card Payment Form PTO-2038.

The Patent Office is authorized to charge any additional fees required to be paid, or to refund any overpayment of fees, to our Deposit Account 08-2040. A duplicate copy of this letter is **enclosed** herewith for use by the Cashier's Office.

It is believed that the filing requirements of the above application have now been met, and it is requested that this application be forwarded to the Examiner for his consideration, in due course.

If it will expedite prosecution of this application, the Examiner is cordially invited to telephone the undersigned, collect if necessary, at the telephone number noted above.

Respectfully submitted,
MARKS & CLERK



Donald E. Hewson - Registration No.: 22,241
DEH:nh
Encls.

c.c. Yumi Inagaki, M&C (Mississauga) Accounting

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Respectfully submitted,
MARKS & CLERK



Donald E. Hewson - Registration No.: 22,241
DEH:nh
Encls.

c.c. Yumi Inagaki, M&C (Mississauga) Accounting